

PART 2006 - MANAGEMENT

Subpart A - National Directives

Table of Contents

<u>Sec.</u>		<u>Page</u>
2006.1	General.	1
2006.2	Observance of directives.	1
2006.3	Authorized types of national directives.	1
	(a) Instructions.	2
	(b) Temporary Changes (TC).	2
	(c) Administrative Notices (AN).	2A
	(d) Forms.	3
	(e) Guide Letters.	4
	(f) Procedure Notices.	4
	(g) Table of Contents for the Procedure Manual.	5
	(h) Handbooks.	5
	(i) Reference Manuals.	5
	(j) Unnumbered Letters.	5
2006.4	Discontinued types of national directives.	5
	(a) Administration Letters.	5
	(b) Bulletins.	5
2006.5	Classification and numbering of directives.	
	(a) RD Instructions.	6
	(b) TC and AN.	7
	(c) Forms and Guide Letters.	7
2006.6	Dating of directives.	7
	(a) New Instructions.	8
	(b) TC and AN.	8
	(c) Forms Manual Inserts.	8
2006.7	Use of abbreviations in FmHA directives.	8

RD Instruction 2006-A
Table of Contents
Page 2

<u>Sec.</u>		<u>Page</u>
2006.8	Distribution of directives.	9
	(a) Within FmHA.	9
	(b) Special distributions by State Offices.	10
2006.9	Coordination of release of directives.	10
2006.10	Manual maintenance.	11
	(a) Arrangement of material.	11
	(b) Handling of new directives.	11
	(c) Table of Contents.	12
	(d) Checking Procedure Manuals.	12
	(e) Destruction of obsolete material.	13
	(f) Disposition of Procedure Manuals of closed County Offices.	13
2006.11	Requests for directives.	13
	(a) Within FmHA.	13
	(b) Outside FmHA.	14
2006.12	Changes in distribution.	14

Exhibit A - Classification of Procedural Material

Exhibit B - Format of Temporary Change

PART 2006 - MANAGEMENT

SUBPART A - NATIONAL DIRECTIVES

§2006.1 General.

The directives described in this Instruction constitute the established policies and methods necessary to conduct the programs of the Farmers Home Administration (FmHA). Directives will be processed in accordance with prescribed authorities and procedures. Published directives, other than Administrative Notices, will not have the signature of the approving official; appropriate officials will indicate approval on the official record copy. Bulletins and Administration Letters will no longer be used as directives in accordance with §2006.4 (a) and (b).

§2006.2 Observance of directives.

Directive requirements must be put into effect immediately on receipt, unless an effective date is otherwise indicated in the body of the directive or in the Procedure Notice. Employees will observe directive requirements at all time; failure to do so subjects employees to appropriate disciplinary action. If the issuance appears inadequate for its purpose, a report should be made through regular administrative channels, or an employee suggestion should be submitted in accordance with RD Instruction 2006-H, "Employee Suggestion Program." All new and revised directives must be studied carefully by employees affected. As appropriate, each new or revised directive will be discussed in staff conference so that all employees will reach a common understanding of its effect.

§2006.3 Authorized types of national directives.

The following are authorized types of National Office Directives: Instructions, Temporary Changes (TC), Administrative Notices (AN), National Forms and Forms Manual Inserts, Guide Letters, Procedure Notices, Tables of Contents for the Procedure Manuals, Handbooks and Reference Manuals. The master copy of each of the above will be maintained by the Directives Management Branch (DMB) of the Management Systems and Organization Planning Staff (MSOPS). The Administrator or the representative to whom he has, in writing, delegated authority will

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Administration
Management

approve all or specific types of directives. The Chief, Directives Management Branch, is authorized to review all directives to determine the need for Federal Register (FR) publication and approval by the Office of the General Counsel (OGC) for legal sufficiency. All FmHA Directives will be published in the Federal Register unless the Administrator concurs with the decision of the Chief, DMB, to make an exception to this requirement. All directives must be approved by OGC unless the Administrator concurs with the decision of the Chief, DMB, to make an exception to this requirement. (Revised 8-4-76 - PN 529.)

(a) Instructions. Statements of policy, rules, and regulations prescribing the methods for conducting business will be issued as a type of directive under the classified manual system (see §2006.5).

(b) Temporary Changes (TC). TC in the form of a telegram or format for Instructions (see Exhibit B) may be used to clarify, modify, or otherwise change Instructions or other directives. However, these TC changes may only be issued when the policies and procedures are needed immediately and cannot wait for contemplated reorganization or revision of specific or related directives or the development of an Instruction. TC must be approved by the OGC for legal sufficiency. A determination as to the need for FR publication will be made by the Administrator based on the recommendations of the originating unit and DMB and the opinion of OGC. If FR publication is required, the FR publication must be developed immediately to follow release of the TC for implementation of the Instruction or other type of directive, due to the urgency of the procedure change as determined by the Administrator with the concurrence of OGC. Other TC changes requiring FR publication but not having such urgency as described above would be processed for FR publication and release for implementation in accordance with standard processing for directives. TC will be withdrawn and incorporated in, or rewritten as, an Instruction or other directive as soon as possible after issuance. A TC will have an expiration date which will be a date not later than the last day of the third month following the month of issuance. (Revised 8-4-76 - PN 529.)

(1) TC will be prepared in the form of a telegram or the format for Instructions (see Exhibit B). These changes will be filed next to the page of the Instruction or other directive being clarified, modified, or otherwise changed. Whenever possible, a TC will be printed on light pink paper for easy identification in the procedure manual.

§2006.3 (b) (Con.)

(2) A copy of such telegram will be sent to the DMB for filing in the Master Manual. The initiating division will prepare a followup copy in the form of a TC and deliver that copy to the DMB for distribution. (Revised 8-4-76, PN 529.)

(3) TC will be assigned serial and classification numbers. They will be issued separately, but will be listed together on the Procedure Notice. A checklist of TC will be issued periodically and will be maintained by recipients of this series. TC omitted from the current checklist or which have expired may be destroyed. (Renumbered 8-4-76, PN 529.)

(c) Administrative Notices (AN). (Revised 02-20-91, PN 157.)

(1) AN, in memorandum format, may be used to make temporary clarifications of existing Instructions, Forms, or Forms Manual Inserts; to convey information on subjects covered by these issuances; or to provide temporary operating policies or procedures. AN may not be used to change Instructions, Forms, or FMI's (except as indicated in the preceding sentence for temporary policies or procedures); to prescribe continuing operating policies or procedures; or to prescribe policies or procedures, even though temporary, that require Federal Register publication.

(2) DMB reviews all AN before they are submitted to the signing official. OGC reviews AN only when legal matters are involved. AN are not ordinarily published in the Federal Register but are available for public inspection. AN sent by electronic mail are followed by reproduced copies. AN have an expiration date that is not later than the last day of the twelfth month after the month of issuance.

§2006.3 (c) (Con.)

(3) AN are filed in the Procedure Manuals in accordance with the filing instructions noted on the AN. Whenever possible, AN will be printed on Buff colored paper for easy identification in the Procedure Manual.

(4) DMB assigns a serial number for AN after they are signed and announces AN on the regular Procedure Notice. DMB issues a checklist of AN which is maintained by manual holders. Destroy AN omitted from the current checklist or AN that have expired or have been superseded.

(d) Forms. A form is a reproduced document with blank spaces for insertion of information. (This definition includes form letters which are forms prepared in memorandum or letter style.) All forms will be identified by a number except forms used one time. This exception applies to special report and survey forms which are reproduced only once, and all used at one time.

(1) National Forms. Forms needed to transact FmHA business will be prescribed by the National Office. Normally, forms used in connection with particular types of transactions are identified in the directives prescribing the procedures for handling such transactions. FmHA forms will be issued when an appropriate Standard Government or Department of Agriculture form cannot be used.

(2) Forms Manual Inserts (FMI). FMI will be issued by the National Office primarily for the assistance of FmHA employees. FMI will provide a sample of each form used in County Offices, with detailed instructions regarding purposes of the form; references to basic Instructions and other directives, except TC and AN requiring its use; information to be inserted in the form; number of copies to be prepared and signed by various parties to the transaction; and distribution. Detailed instructions about preparing a form will be omitted from the text of Instructions. Forms to be completed by the general public may or may not have an FMI but will have instructions for completion printed within the body of the form or on the reverse side.

(e) Guide Letters. A Guide Letter is a sample letter which prescribes the style and contains information for use in preparing a letter or memorandum: Guide Letters are intended to save time in composition, obtain uniformity in the handling of similar transactions, and expedite the flow of work. Guide Letters are useful when it is not practical to establish a printed form, or when typed letters are more appropriate than a printed letter. They will contain cross references to appropriate Instructions and other directives regarding their use.

(f) Procedure Notices.

(1) Serially numbered Procedure Notices will be issued at planned intervals to transmit directives to manual holders in various FmHA offices. Such Procedure Notices will be used to:

(i) Transmit general notices,

(ii) Indicate effective date of a procedure item, as appropriate,

(iii) Provide manual maintenance instructions regarding the insertion, removal, correction, change, and marking of directives,

(iv) Announce new, revised, and replacement forms, designate obsolete and superseded forms, provide for the disposition of replaced or obsolete forms, and provide form supply and requisitioning information, and

(v) Provide summary statements of purposes of new and revised directives.

(2) Unnumbered "Special" Procedure Notices will be used for the purposes stated in paragraph (f)(1) of this section to transmit directives and notices when such material requires immediate release before issuance of the numbered Procedure Notice. In some cases, however, TC for immediate release may be distributed without a Procedure Notice and will be described on the next numbered Procedure Notice.

(g) Table of Contents for the Procedure Manual. A Table of Contents will be issued consisting of a list of all current directives in the order of their classification, showing under each item its distribution, all sheet revisions, modifying, and supplementing references made since issuance of last complete revision of the item. Tables of Contents are issued periodically to provide a checklist of current directives and also to serve as a supplement to the classification system in locating material.

(h) Handbooks. For more convenient use by employees, selected directive and informational material may be assembled in one volume and issued as Handbooks. Handbooks will be considered as authorized types of directives only when so referenced by an Instruction or other authorized type of directive.

(i) Reference Manuals. Selected informational material for use by employees in performance of their respective duties may be assembled in reference manuals. Such material may be distributed by use of announcement in a Procedure Notice. The Procedure Notice will specify potential use, by whom generally used, and any special filing instructions. Issuing Unit Directors are responsible for an annual review of material being maintained in the reference manual and will advise by Procedure Notice when specific items are to be replaced or deleted. (Added 08-04-76, PN 529.)

(j) Unnumbered Letters. Unnumbered Letters (ULs) are not part of the directives system. The use and filing of ULs is to be in accordance with RD Instruction 2033-A. (01-26-94, PN 218.)

§2006.4 Discontinued types of national directives.

(a) Administration Letters. Administration Letters that have not been replaced to date by other authorized types of directives will remain in effect until they are officially replaced.

(b) Bulletins. FmHA Bulletins will remain in effect until they are officially replaced or they expire.

§2006.5 Classification and numbering of directives.

Each directive will be numbered and classified in accordance with the Procedure Classification System as prescribed in this section. This number provides a guide for filing the material in the manual and affords

a systematic and logical grouping of related material under corresponding numbers so that material pertaining to a given procedure or subject can be located readily by use of the classification chart. Employees should acquaint themselves with the major subjects which appear on the classification chart (see Exhibit A of this subpart). The classification number for Instructions will be of two types as discussed in this Instruction, recognizing a transition period for development of our Instructions in a new format and numbering system. The present three-digit instruction numbers will, as soon as possible, be replaced with a four-digit part number consistent with the numbering system used in the Federal Register. (Revised 01-26-94, PN 218.)

(a) RD Instructions. The classification number of an Instruction currently consists of three digits, but will be replaced by a four-digit part number consistent with the Federal Register system. The current three-digit classification number is followed by a decimal point and a serial number. The serial number is not part of the classification number, but represents the number assigned to the individual document as issued under the designated classification. The four-digit part number is followed by a subpart letter, both of which constitute the classification number.

(1) Explanation of the three-digit number. As indicated in Exhibit A of this subpart, the overall functions of FmHA have been divided, for classification purposes, into five major groups, namely, "Administration," classified as the "0" series; "Business Services," the "1" series; "Personnel," the "2" series; "Fiscal Services," the "3" series, and "Program Operations," the "4" series. Accordingly, the first digit of a classification number will designate one of these series and will indicate the particular major group involved. Each major group is further divided into a secondary group, representing general functions within the major group, as series "4", "Program Operations," is further separated into "General," "Families," "Real Property," and so forth. Thus, the second digit of a classification number indicates the secondary series or general function. Each secondary group is again broken down into a third category to designate the more specific function, as series, "43," "Supervision," is further separated into "General," "Farm and Home Records," and so forth, indicating the third category or more specific function. For example, an employee desires to locate material relating to the processing of Operating Loans. This would fall within the major group of "Program Operations," series "4" as the overall function; the general function, "Loan and Grant Making," is series "44," and the specific function, "Operating, Emergency, and Economic Opportunities," is series "441". All third-digit groups include

a "General" heading. Instructions that cannot be classified definitely under a specified third-digit heading will be classified under the appropriate third-digit "General" heading.

(2) Explanation of the four-digit number. The overall functions of FmHA have been divided into two parts consistent with the Federal Register System (see FmHA 2000-A and FmHA 1900-B). Part 2000 will be used for Instructions pertaining to "Administration," "Business Services," "Personnel," and "Fiscal Services." Part 1900 will be used for "Program Operations." The last two digits of the 2000 or 1900 part number would indicate a more specific kind of Instruction with a dash and the subpart letter completing the Instruction number. The part number and the subpart letter will constitute the classification number.

(b) TC and AN. These directives will be numbered in the order in which they are issued. The appropriate directive classification will be shown in parentheses following the serial number.

(c) Forms and Guide Letters.

(1) Three-digit number. The first three digits of an FmHA Form number and the number assigned to an FmHA Guide Letter will be assigned according to Exhibit A,

(2) Four-digit number. The four-digit part number and subpart letter of an FmHA Form number and the number assigned to an FmHA Guide Letter will be assigned according to FmHA 1900-B.

(3) Suffix number. The number referred to in paragraphs 1 or 2 will be followed by a dash and a suffix number which will be assigned serially. If two or more Instructions of different classification prescribe the use of a form, the "General" directive classification will be assigned. To further identify FmHA Legal Series Forms prescribed (or individual States, the abbreviation of the name of the State will be shown following the suffix of the form number (see RD Instruction 2006-B.) (3-23-83 PN 874)

§2006.6 Dating of directives.

All directive material will bear the date on which it is signed by the approval official. Following are standard practices for dating FmHA directives.

(a) New Instructions.

(1) Issuance date. The date of issuance of an RD Instruction will be shown on the front of each sheet in the lower left corner. The number of the Procedure Notice with which the Instruction is transmitted will follow the date of issuance.

(2) Partial revisions. When paragraphs are revised, added, or renumbered without the reissuance of the complete Instruction, the date of approval and the number of the Procedure Notice transmitting the Instruction will follow the text of the appropriate paragraph; for example, "(Revised 4-5-63 - PN 835.)." The number of the original Procedure Notice will be retained following the original issuance date in the lower left corner on the front of the sheet. When sheets are issued which contain paragraph revisions or additions, there will be entered below the sheet number "(Revision 1)," "(Revision 2)," and so forth. The revision number will indicate the number of times the sheet has been reissued since the date appearing in the lower left corner on the front of the sheet.

(3) Complete revisions. When an Instruction is completely revised, all paragraph revision dates, sheet revision numbers, original issuance dates, and Procedure Notice numbers will be removed. The date of the complete revision and the number of the Procedure Notice transmitting the revision will be entered in the lower left corner on the front of each sheet.

(b) TC and AN. The date of issuance of a TC or AN will be shown in the heading on the first page. The number of the Procedure Notice if used, with which the TC or AN is announced, will be shown under the distribution in the lower left corner on the first page. The date and Procedure Notice number will be shown on each succeeding front page.

(c) Forms Manual Inserts. The date of an FMI and the number of the Procedure Notice transmitting the insert will be shown in the lower left corner of the front of each sheet.

§2006.7 Use of abbreviations in FmHA directives.

If the organizational unit, type of loan, or other applicable term is referred to only once in a particular directive, abbreviations will not

be used. If referred to more than once, the term will be written out the first time it is used, followed by the abbreviation in parentheses; for example, "Personnel (PE) Division" or "Farm Ownership (FO) loan." The abbreviation may be used for subsequent references in the directive.

§2006.8 Distribution of directives.

(a) Within FmHA. The following are general procedures established for distributing directives to employees at various organizational levels:

(1) Distribution by codes. Directives will be distributed to employees according to their respective needs. These directives are sometimes limited in their application to areas, offices, or individuals. A convenient method of indicating distribution is by the use of "Distribution Codes." All holders of a given type of manual (material bearing a given distribution code) will receive all directives bearing that particular code, except as otherwise specified. For example, the code "C" indicates distribution to all County Offices. If distribution is to be made to New York only, "Distribution: W; SC in New York" will indicate distribution to National Office and Finance Office manual holder, and to State and County Office manual holders in New York only. The following chart shows distribution codes:

<u>Distribution Code</u>	<u>Directives For</u>
W	National Office including Finance Office
S	State Offices including District Directors
C	County Offices
P	Employment Officers and others engaged in personnel work

(2) Mailing schedule. Normally, "W, S, C" directives will be scheduled for weekly mailing. "P" directives will be mailed

at irregular intervals, as necessary. "W, S, C" directives will be reproduced and assembled with the appropriate Procedure Notice by the Office of Plant and Operations, U. S. Department of Agriculture, and delivered to the mailroom in the National Office, usually on Thursday.

(i) Directives for the National Office will be distributed directly to the officials concerned.

(ii) "P" directives will distributed directly to the officials concerned in the National Office, Finance Office, and State Offices and the balance sent to the Finance Office.

(iii) "WS" directives will be mailed directly by the National Office to the State Office for immediate distribution to the State Staff and the balance sent to the Finance Office for stock.

(iv) Two advance copies of "WS" directives will be mailed directly to the Director, Finance Office.

(v) The "C" directives will be shipped by the National Office to the Finance Office for mailing to County Offices, usually on the following Monday.

(b) Special distributions by State Offices. The State Office will distribute copies of directives for designated counties, designated attorneys, participating title insurance companies, and County Committeemen.

§2006.9 Coordination of release of directives.

(a) Generally, the directives requiring the use of new or replacement forms will be released to reach the field at approximately the same time as stock supplies of the new or replacement forms are in the Finance Office for distribution to using offices.

(b) If it is necessary to release the directive before supplies of a new or replacement form are available, the Procedure Notice covering the directives will indicate that the form will not be available for requisitioning until further notice. Field offices will be advised by another Procedure Notice when supplies of the form will be distributed or may be requisitioned.

§2006.10 Manual maintenance.

Heads of offices and supervisory officials are responsible for seeing that Procedure Manuals in their jurisdiction are maintained properly and that the contents of directives are brought to the attention of, and made available to, all employees concerned. Responsibility for maintenance of manuals should be assigned to designated employees in each unit that maintains one or more manuals. Office Management Assistants periodically will spot check County Office Procedure Manuals to determine that they are maintained properly.

(a) Arrangement of material. National and State directives material will be filed in procedure binders unless otherwise authorized by State Directives. The material will be distributed evenly among the binders, and each binder will be labeled as to its contents.

(1) Individual manual holders may file the appropriate sections of the Table of Contents in front of each series in their respective binders. or file the complete Table of Contents in the first binder.

(2) When authorized by State directives, County Office clerks may maintain in a separate binder on their desks the directives including Handbooks governing correspondence, time and attendance, and National and State Guide Letters. Extra copies of selected letters and memorandums also may be filed in this binder as guides in preparing similar correspondence.

(b) Handling of new directives. On receipt of each Procedure Notice, the responsible employee will:

(1) Make prescribed longhand deletions as directed and note reference to the Procedure Notice authorizing the changes.

(2) Insert new releases and remove obsolete material. TC and AN will be filed by the classification as directed in the Procedure Notices with the appropriate Instruction. State directives, TC, and AN will be filed following the particular Instruction supplemented, and in accordance with filing directions as noted on such directives.

(3) File the State and County Office Forms Reference List in front of the Forms Manual and keep the list up to date from

information contained in Procedure Notices. The posting will include the addition of information regarding new forms; changing the "Earliest Usable Date" of replacement forms; changing the title, if necessary, in the case of revised forms; and changing the "Date of FMI" to reflect the latest issue of an FMI.

(4) Dispose of obsolete forms as prescribed on the Procedure Notice.

(5) Circulate the Procedure Notice to members of the staff concerned.

(6) After the Procedure Notice has been examined and initialed by the appropriate personnel, file it in the appropriate bidder.

(c) Table of Contents.

(1) Action by employees maintaining Master Procedure Manuals and by office management assistants. Bring the Table of Contents for the manual up to date by showing the number, title, date, and distribution of new directives; by crossing out all obsolete directives; by changing the title and distribution of new directives; by changing the title and distribution, if necessary, and date in the case of revised directives; and in cases of partial revisions of Instructions, show sheet and page revisions respectively.

(2) Action by all other employees. Bring the Table of Contents for the manual up to date by showing the number and title of new directives; by crossing out all obsolete directives; and by changing the title, if necessary, for revised directives.

(d) Cheeking Procedure Manuals. On receipt of a revised Table of Contents, the employee who maintains the manual will verify the completeness of the manual by checking to see that

(1) All directives listed on the Table of Contents are filed in the manual;

(2) The modifying, superseding, and supplementing references have been noted on the applicable directives; and

(3) All obsolete and superseded directives have been removed.

(e) Destruction of obsolete material. All manual holders, except Master Manual holders, will destroy directives as soon as they are obsolete. Procedure Notices will be retained for 6 months and then may be destroyed.

(f) Disposition of Procedure Manuals of closed County Offices. The contents of Procedure Manuals of County Offices being closed will be destroyed, and the binders will be sent to the State Office. If, however, the State Office plans to open another County Office in the near future, the County Office will be instructed to forward the complete manual to the State Office for redistribution.

§2006.11 Requests for directives.

(a) Within FmHA.

(1) From St. Louis, Missouri. Stocks of National directives and procedure binders will be maintained in the Finance Office, St. Louis, Missouri. Form RD 021-1, "Request for Procedure," will be used to request extra copies of directives. complete sets of new directives and procedure binders. Requests for empty binders will be accompanied with a justification for the need and an explanation of the condition of any binders being replaced. Form RD 021-1 will be prepared as provided on the FMI.

(2) Shipment of orders. Except for County Offices, all orders will be delivered to the requesting office with one copy of Form RD 021-1 included as a shipping ticket. Requests from County Offices will be filled by the Finance Office and mailed to the appropriate State Office. Before the material is mailed to the County Office, the State Director will have it checked against the pages of the Master Procedure Manual for the posting of any modifying or supplementing references, any longhand changes made by Procedure Notice, and for the addition of any supplementary State directives.

(3) Within National Office. Copy from the Master Files at the FmHA National Office can be obtained from the Directives Management Branch.

(b) Outside FmHA. The phases of FmHA operations of general interest to the public are published in the Federal Register which may be purchased from the Government Printing Office. Directives are open to examination by the general public. Requests for copies will be handled in accordance with FmHA 2018-F, "Availability of Information." (12-21-77, PN 601)

§2006.12 Changes in distribution.

Generally, if there is a reduction or increase in supervisory personnel or if an office is established, abolished, or consolidated, there is need for an immediate change in the number of directives required. State Directors will be responsible for immediately advising, by memorandum, the Administrator, Washington, D.C., Attention: Directives Management Branch, (copy to Finance Office, St. Louis, Missouri) of any reductions or increases in the number of directives needed. This memorandum will show the address of the office involved, and, in the case of a County Office, the county code number.

Attachments: Exhibits A and B.

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Exhibit A not automated see manual

Exhibit B not automated see manual